



3738

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

7/14  
23  
7-23

Applicants: Clifton A. Alferness, John M. Adams, and John Melmoth Power  
Serial No.: 09/855,945  
Filing Date: May 14, 2001  
Title: MITRAL VALVE THERAPY DEVICE, SYSTEM AND METHOD  
Examiner/Unit: Hieu Phan / 3738  
Attorney Docket No.: 1931-2

RECEIVED  
JUL 01 2003  
TECHNOLOGY CENTER R3700

CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited in the United States Postal Service as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 23 day of June, 2003.

  
Signature

**RULE 56 INFORMATION DISCLOSURE AND  
ACCOMPANYING SECTION 1.97(e) CERTIFICATION**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

In compliance with 37 CFR § 1.56 and § 1.97, Applicants acting by and through the attorney of record, hereby discloses patents and other documents listed on the attached Form PTO-1449 which may be considered relevant to the examination of the subject application.

Copies of the documents are enclosed.

**Certification Under Section 1.97(e)**

The undersigned hereby certifies that this information was not known to individuals associated with the filing or prosecution of the subject patent application in accordance with Section 1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP



Richard O. Gray, Jr.  
Attorney for Applicant  
Registration No. 26,550  
155 - 108th Avenue NE, Ste. 350  
Bellevue, WA 98004-5973  
(425) 455-5575

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

C

1

Attorney Docket Number

**Complete if Known**

Application Number

09/855.945

Filing Date

05/14/01

First Named Inventor

Clifton A. Alferness

Group Art Unit

3738

Examiner Name

Hieu Phan

Attorney Docket Number

1931-2

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]Examiner  
Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**